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ATTORNEY DOCKET NO. B0801/7197 (ERG/KA)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chen, et al.
 Serial No: 09/673,994
 Int. App. No. PCT/US99/08502
 Int. App. Filed: April 23, 1999
 For: CNRE Binding Factors and Uses Thereof
 Examiner: Not Yet Assigned
 Art Unit: Not Yet Assigned

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Box PCT, Commissioner for Patents, Washington, D.C. 20231, on the 27th day of March, 2002.

Konstantinos Andrikopoulos
 Konstantinos Andrikopoulos, Reg. No. 48,915

BOX PCT
 COMMISSIONER FOR PATENTS
 WASHINGTON, D.C. 20231

Sir:

TRANSMITTAL LETTER

Transmitted herewith for filing are the following:

- [✓] Copy of Notification of Defective Response
- [✓] Computer Readable Form (CRF) copy of the corrected Sequence Listing (on a Diskette)
- [✓] Paper copy of the corrected Sequence Listing (2x)
- [✓] Statement Pursuant to 37 C.F.R. §1.821(f)
- [✓] Second Preliminary Amendment
- [✓] Information Disclosure Statement and PTO-1449
- [✓] Certificate of Mailing under 37 C.F.R. §1.8(a)
- [✓] Return Receipt Postcard

If the enclosed papers are considered incomplete, the mailroom and/or the Application Branch is respectfully requested to contact the undersigned at (617)720-3500.

No fees are believed to be due. Please charge any deficiencies or credit any overpayment to Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Konstantinos Andrikopoulos
 Konstantinos Andrikopoulos, Reg. No. 48,915
 WOLF, GREENFIELD & SACKS, P.C.
 600 Atlantic Avenue
 Boston, MA 02210-2206
 Telephone: (617) 720-3500

Attorney Docket No. B0801/7197 (ERG/KA)
 Date: March 27, 2002
 xApril 18, 2002

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Konstantinos Andrikopoulos
Konstantinos Andrikopoulos, Reg. No. 48,915

Box PCT
Commissioner for Patents
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

PART II: Information Cited

Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

604435.1

Applicants hereby make the following additional information of record in the above-identified application:

The above-identified U.S. application claims priority to application Serial No. PCT/US99/08502. If the Examiner has not had the benefit of review of the file history of PCT/US99/08502, then he/she is asked to contact the undersigned who will provide a copy of same.

PART III Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, Applicants make no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By: Konstantinos Andrikopoulos

Konstantinos Andrikopoulos, Reg. No. 48,915
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210
Telephone (617) 720-3500

Docket No. B0801/7197 (ERG/KA)

Dated: March 27, 2002

xndd



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/673,994	Yuqing E. CHEN	B0801/7197 ERG
INTERNATIONAL APPLICATION NO.		
PCT/US99/08502		
LA. FILING DATE	PRIORITY DATE	
04/23/1999	04/24/1998	

Wolf Greenfield & Sacks
 600 Atlantic Avenue
 Boston, MA 02210

CONFIRMATION NO. 9185
371 FORMALITIES LETTER



OC000000007641432

Date Mailed: 03/18/2002

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
 - A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
 - The computer readable form that has been filed with this application has been found to be damaged and/or

unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).

■ APPLICANT MUST PROVIDE:

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

• For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

- A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

FRANCINE YOUNG

Telephone: (703) 305-3662

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/673,994	PCT/US99/08502	B0801/7197 ERG

FORM PCT/DO/EO/916 (371 Formalities Notice)